

#4

Attorney's Docket No. T0457/7003 TJO

Applicant: Tao T. Tao et al.
Serial No: 09/837,864
Filed: April 18, 2001
For: Electrochemical Device and Methods for Energy Conversion

STATEMENT CLAIMING SMALL ENTITY STATUS

I am the owner or an official of the following small business empowered to act on behalf of the concern identified below.

The small business concern identified below qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

NAME OF CONCERN: CellTech Power, Inc.
ADDRESS OF CONCERN: 131 Flanders Road, Westboro MA 01581

LIST OF OTHER CONCERNS HAVING RIGHTS IN THE INVENTION

If the rights held by the small business or nonprofit organization or individual inventor are not exclusive, each additional individual concern or organization having rights to the invention is listed below. **(If your rights are exclusive, then no such person, concern or organization should be selected).**

☒ no such person, concern or organization
☐ persons, concerns or organizations listed below*

*NOTE: Separate statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities.

FULL NAME
ADDRESS

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

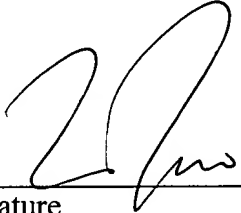
The concern or inventor **identified above** acknowledges the duty to notify **the U.S. PTO** of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the

time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

PRINTED NAME OF PERSON SIGNING:
TITLE OF PERSON (if other than owner):
ADDRESS OF PERSON SIGNING:

Tao T. Tao
CEO & COT
CellTech Power, Inc.
131 Flanders Rd., Westboro MA 01581

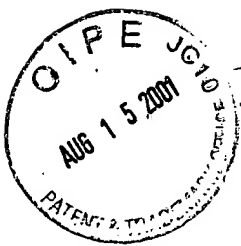
CTO



Signature

7/10/2001

Date



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Attorney Docket No. T0457/7003 TJO

DECLARATION FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

ELECTROCHEMICAL DEVICE AND METHODS FOR ENERGY CONVERSION

the specification of which was filed on April 18, 2001, as U.S. Application No. 09/837,864, and bearing attorney docket No. T0457/7003.

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119(a)-(d) or §365(b) of any foreign application(s) for patent or inventor's certificate, or section 365(a) of any PCT International application designating at least one country other than the United States listed below and have also identified below any foreign application for patent or inventor's certificate or PCT International application having a filing date before that of the application on which priority is claimed:

Prior Foreign PCT International Application(s) and any priority claims under 35 U.S.C. §§119 and 365(a),(b):

			Priority Claimed
_____	_____	_____	[] []
(Number)	(Country-if PCT, so indicate)	(DD/MM/YY Filed)	YES NO

I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional application(s) listed below:

<u>60/197,998</u>	<u>April 18, 2000</u>
(Application Number)	(filing date)

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s), or §365(c) of any PCT International application(s) designating the United States

of America listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application:

(Application No.)	(filing date)	(status-patented, pending, abandoned)
(Application No.)	(filing date)	(status-patented, pending, abandoned)

PCT International Applications designating the United States:

(PCT Appl. No.)	(U.S. Ser. No.)	(PCT filing date)	(status-patented,pending,abandoned)
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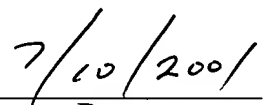
I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

Robert M. Abrahamsen	40,886	Jason M. Honeyman	31,624	Stanley Sacks	19,900
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Gary S. Engelson	35,128	M. Brad Lawrence	P 47,210	Alan W. Steele	45,128
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Edward R. Gates	31,616	Daniel P. McLoughlin	46,066	Michael G. Verga	39,410
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James M. Hanifin, Jr.	39,213	Elizabeth R. Plumer	36,637		
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Steven J. Henry	27,900	Robert E. Rigby, Jr.	36,904		
		Edward J. Russavage	43,069		

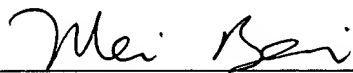
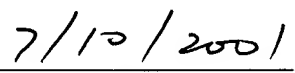
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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

**Inventor's signature****Date**

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Residence & PO Address: 280 John Rezza Drive
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**Inventor's signature****Date**

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